

FORM PTO-1376 (REV. 10-94)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER <b>33174-5</b>
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. (If known, use 37 C.F.R. 1.5)
INTERNATIONAL APPLICATION NO. <b>PCT/GB97/02790</b>	INTERNATIONAL FILING DATE <b>09/10/97</b>	PRIORITY DATE CLAIMED <b>10/10/96</b>	
TITLE OF INVENTION <b>DETECTING GENETIC PREDISPOSITION TO SIGHT-THREATENING DIABETIC</b>			
APPLICANT(S) FOR DO/EO/US <b>RETINOPATHY</b> <b>DUFF, GORDON ETAL.</b>			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:			
<ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li><input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li><input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))           <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input type="checkbox"/> has been transmitted by the International Bureau.</li> <li><input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li><input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li><input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))           <ol style="list-style-type: none"> <li><input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input type="checkbox"/> have been transmitted by the International Bureau.</li> <li><input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li><input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li><input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li><input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li><input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>			
Items 11. to 16. below concern document(s) or information included:			
<ol style="list-style-type: none"> <li><input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li><input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li><input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment</li> <li><input type="checkbox"/> A substitute specification.</li> <li><input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li><input checked="" type="checkbox"/> Other items or information:            POWER OF ATTORNEY            37 CFR 3.73(b) STATEMENT            SPECIFICATION, DRAWINGS            SMALL ENTITY STATEMENT            POSTCARD            CHECK FOR 530.00            CHECK FOR 40.00         </li> </ol>			

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10 MAR 1998

09/037472  
 PTO/SB/17 (12-97)  
 OMB 0651-0032  
 Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## FEE TRANSMITTAL

NOTE: Effective October 1, 1997  
 Patent fees are subject to annual revision

Complete if Known

Application Number	Unassigned
Filing Date	March 10, 1998
First Named Inventor	Gordon W. Duff, et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	33174-5

TOTAL AMOUNT OF PAYMENT

(\$)

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account No.: 10-0447  
 Deposit Account Name: Jenkins & Gilchrist

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

2. ☐ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	790	201	395	Utility filing fee	\$ 395.00
106	330	206	165	Design filing fee	\$
107	540	207	270	Plant filing fee	\$
108	790	208	395	Reissue filing fee	\$
114	150	214	75	Provisional filing fee	\$

**SUBTOTAL (1) \$ 395.00**

## 2. CLAIMS

	Fee from Extra below	Fee Paid
Total Claims [ 9 ] - 20 = [ ] x [ ] =	\$	
Independent Claims [ 3 ] - 3 = [ ] x [ ] =	\$	
Multiple Dependent Claims	=	\$ 135.00

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
103	22	203	11	Claims in excess of 20	
102	82	202	41	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim	
109	82	209	41	Reissue independent claims over original patent	
110	22	210	11	Reissue claims in excess of 20 and over original patent	

**SUBTOTAL (2) \$135.00**

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	\$
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	\$
139	130	139	130	Non-English specification	\$
147	2,520	147	2,520	For filing a request for reexam	\$
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	\$
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	\$
115	110	215	55	Extension for reply within 1st month	\$
116	400	216	200	Extension for reply within 2nd month	\$
117	950	217	475	Extension to reply within 3rd month	\$
118	1,510	218	755	Extension to reply within 4th month	\$
128	2,060	228	1,030	Extension to reply within 5th month	\$
119	310	219	155	Notice of Appeal	\$
120	310	220	155	Filing a brief in support of an appeal	\$
121	270	221	135	Request for oral hearing	\$
138	1,510	138	1,510	Petition to institute a public use proceeding	\$
140	110	240	55	Petition to revive - unavoidable	\$
141	1,320	241	660	Petition to revive - unintentional	\$
142	1,320	242	660	Utility issue fee (or reissue)	\$
143	450	243	225	Design issue fee	\$
144	670	244	335	Plant issue fee	\$
122	130	122	130	Petitions to the Commissioner	\$
123	50	123	50	Petitions related to provisional apps.	\$
126	240	126	240	Submission of Information Dis. Stmt.	\$
581	40	581	40	Recording each patent assignment per property (times number of properties)	\$ 40.00
146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))	\$
149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))	\$

Other fee (specify) \_\_\_\_\_ \$

Other fee (specify) \_\_\_\_\_ \$

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) \$40.00**

## SUBMITTED BY

Complete (if applicable)

Typed or Printed Name Patrick Turley

Registration Number 35,723

Signature 

Date

March 10, 1998

Deposit Account User ID

03/10/98



jc135 U.S. PRO

201  
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Patent

Docket No. 33174.5

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402 Rec'd PCT/PTO

10 MAR 1998

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	§	Group Art Unit:
Gordon W. Duff, et al.	§	
	§	
Filed:	§	
March 10, 1998	§	
	§	
Serial No.:	§	Examiner:
Unassigned	§	
	§	
For:	§	
Detecting Genetic Predisposition to	§	
Sight-Threatening Diabetic	§	
Retinopathy	§	

**CERTIFICATE OF MAILING UNDER 37 CFR 1.10**

Box Patent Application  
Assistant Commissioner of Patents  
Washington, D.C. 20231


Dear Sir:

I hereby certify that this correspondence,

**Specification (41 p.); Drawings (2 p.)**  
**Preliminary Amendment**  
**Assignment and cover sheet**  
**Power of Attorney by assignee of Entire Interest**  
**Certificate under 37 CFR 3.73(b)**  
**Declaration**  
**Verified Statement Claiming Small Entity Status**  
**International Application No. - UK - GB97/02790**  
**Transmittal concerning a Filing Under 35 U.S.C. 371; Fee Transmittal**  
**Check in the amount of \$530 and check in the amount of \$40.00**  
**Return postcard**

is being deposited with the United States Postal Service as Express Mail, mailing label number EI637428244US, postage prepaid, in an envelope addressed to:

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

  
Michael Black

Date: March 10, 1998

09037472-031098

PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

03/13/1998 ADESPERT 00000008 09037472  
01 FC:201 395.00 0P  
02 FC:204 135.00 0P